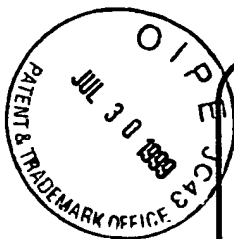


Section # 47

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (12-97)  
Approved for use through 9/30/00. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|                        |                  |
|------------------------|------------------|
| Application Number     | 09/307,452       |
| Filing Date            | May 7, 1999      |
| First Named Inventor   | Tal Lavian       |
| Group Art Unit         | 2766             |
| Examiner Name          |                  |
| Attorney Docket Number | NTL-3.2.076/2120 |

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ To Convert a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

POSTCARD

Remarks

POSTCARD

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                         |                         |
|-------------------------|-------------------------|
| Firm or Individual name | LAWRENCE E. RUSS        |
| Signature               | <i>Lawrence E. Russ</i> |
| Date                    | July 27, 1999           |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 7/27/99

|                       |                        |      |         |
|-----------------------|------------------------|------|---------|
| Typed or printed name | Lucretia Husain        |      |         |
| Signature             | <i>Lucretia Husain</i> | Date | 7/27/99 |

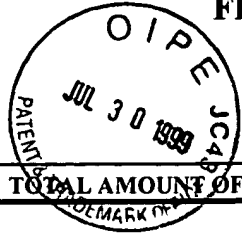
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3

0001/PTO  
Rev. 10/97

U.S. Department of Commerce  
Patent and Trademark Office

# FEE TRANSMITTAL



## Complete if Known

|                        |                  |
|------------------------|------------------|
| Application Number     | 09/307,452       |
| Filing Date            | May 7, 1999      |
| First Named Inventor   | Tal Lavian       |
| Group Art Unit         | 2766             |
| Examiner Name          |                  |
| Attorney Docket Number | NTL-3.2.076/2120 |

TOTAL AMOUNT OF PAYMENT (\$)  
170.00

## METHOD OF PAYMENT (Check One)

1 ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 03-2317  
Deposit Account Name: COBRIN & GITTES

☐ Charge Any Additional Fee  
Required Under 37 CFR 1.16 and  
1.17

☐ Charge the Issue Fee Set in 37 CFR 1.18  
at the Mailing of the Notice of  
Allowance, 37 CFR 1.311(b)

2 ☒ Payment Enclosed:

(reserved space)

☒ Check  
☐ Money Order  
☐ Other

## FEE CALCULATION (fees effective 10/1/96)

### 1 FILING FEE

| Large Entity<br>Fee Code | Fee (\$) | Small Entity<br>Fee Code | Fee (\$) | Fee Description    | Fee Paid |
|--------------------------|----------|--------------------------|----------|--------------------|----------|
| 101                      | 790      | 201                      | 395      | Utility filing fee |          |
| 106                      | 330      | 206                      | 165      | Design filing fee  |          |
| 107                      | 540      | 207                      | 270      | Plant filing fee   |          |
| 108                      | 790      | 208                      | 395      | Reissue filing fee |          |

SUBTOTAL (1) (\$) \_\_\_\_\_

### 2 CLAIMS

Extra Fee from Below Fee Paid  
Total Claims - 20 = X =  
Independent Claims - 3 = X =  
Multiple Dependent Claims =

| Large Entity<br>Fee Code | Fee (\$) | Small Entity<br>Fee Code | Fee (\$) | Fee Description                                     | Fee Paid |
|--------------------------|----------|--------------------------|----------|---|----------|
| 102                      | 82       | 202                      | 41       | Independent claims in excess of 3                   |          |
| 103                      | 22       | 203                      | 11       | Claims in excess of 20                              |          |
| 104                      | 270      | 204                      | 135      | Multiple dependent claim                            |          |
| 109                      | 82       | 209                      | 41       | Reissue independent claims over original patent     |          |
| 110                      | 22       | 210                      | 11       | Reissue claims in excess of 20 over original patent |          |

SUBTOTAL (2) (\$) \_\_\_\_\_

### 3 ADDITIONAL FEES

| Large Entity<br>Fee Code | Fee (\$) | Small Entity<br>Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------------------|----------|--------------------------|----------|--|----------|
| 105                      | 130      | 205                      | 65       | Surcharge - late filing fee or oath                              | 130.00   |
| 139                      | 130      | 139                      | 130      | Non-English specification  |          |
| 147                      | 2,520    | 147                      | 2,520    | Filing a request for reexamination                               |          |
| 112                      | 920      | 112                      | 920      | Requesting publication of SIR - Prior to examiner's action       |          |
| 113                      | 1,840    | 113                      | 1,840    | Requesting publication of SIR - After examiner's action          |          |
| 115                      | 110      | 215                      | 55       | Extension for response within 1st month                          |          |
| 116                      | 400      | 216                      | 200      | Extension for response within 2nd month                          |          |
| 117                      | 950      | 217                      | 475      | Extension for response within 3rd month                          |          |
| 118                      | 1,510    | 218                      | 755      | Extension for response within 4th month                          |          |
| 128                      | 2,060    | 228                      | 1,030    | Extension for response within 5th month                          |          |
| 119                      | 310      | 219                      | 155      | Notice of Appeal   |          |
| 120                      | 310      | 220                      | 155      | Filing a brief in support of an appeal                           |          |
| 121                      | 270      | 221                      | 135      | Request for oral hearing   |          |
| 138                      | 1,510    | 138                      | 1,510    | Petition to institute a public use proceeding                    |          |
| 140                      | 110      | 240                      | 55       | Petition to revive unavoidably abandoned application             |          |
| 141                      | 1,320    | 241                      | 660      | Petition to revive unintentionally abandoned application         |          |
| 142                      | 1,320    | 242                      | 660      | Utility issue fee (or reissue)                                   |          |
| 143                      | 450      | 243                      | 225      | Design issue fee   |          |
| 144                      | 670      | 244                      | 335      | Plant issue fee  |          |
| 122                      | 130      | 122                      | 130      | Petitions to the Commissioner                                    |          |
| 126                      | 240      | 126                      | 240      | Submission of Information Disclosure Statement                   |          |
| 581                      | 40       | 581                      | 40       | Recording each patent assignment per property (X no. properties) | 40       |
| ?                        | 220      | ?                        | 220      | Late Claim for priority during pendency                          |          |
| 138                      | 1,510    | 138                      | 1,510    | Protest after application published                              |          |
| 114                      | 150      | 214                      | 75       | Provisional Application filing                                   |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$) 170.00

## SUBMITTED BY

## Complete (if applicable)

Typed or Printed Name  
Lawrence E. Russ

Reg. Number  
35,342

Signature  
*Lawrence E. Russ*

Date  
7/27/99

Deposit Account User ID  
03-2317

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CERTIFICATE OF MAILING

Attorney Docket No.: NTL-3.2.076.2120

I hereby certify that this paper and every paper referred to therein as being enclosed is being deposited with the U.S. Postal Service as first class mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231,

on July 27, 1999 (Date of Deposit)

7-27-99 Lucretia Harris

Date

Name

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Lavian, et al.

Serial No.: 09/307,452

Filed: May 7, 1999

For: **SECURITY ASSOCIATION MEDIATOR  
FOR JAVA-ENABLED DEVICES**

:  
:  
: Group Art Unit: 2766  
:  
: Examiner:  
:  
:  
:  
:  
:

**RESPONSE**

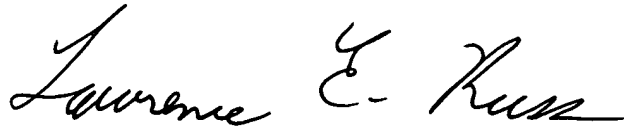
BOX MISSING PARTS  
Assistant Commissioner Of Patents  
Washington, DC 20231

S I R :

Responsive to the Notice to File Missing Parts of Application dated May 28, 1999, enclosed are declarations signed by the inventors of the present application, Tal Lavian, Franco Travostino, Thomas Hardjono and Rob Duncan, together with the fee of \$130.00 as set forth in 37 CFR 1.16(e).

Also enclosed are Assignments executed by each of the inventors, as well as a Recordation  
Form Cover Sheet.

An early consideration and allowance of this application are respectfully requested.

A handwritten signature in cursive script, reading "Lawrence E. Russ". The signature is written in dark ink and is positioned above a horizontal line.

Lawrence E. Russ  
Reg. No. 35,342

COBRIN & GITTES  
750 Lexington Avenue  
New York, New York 10022  
(212) 486-4000



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY, DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|----------------------------|
| 09/307,452         | 05/07/99            | LAVIAN                | T NTL-3.2.076/             |

0242/0528

COBRIN & GITTES  
750 LEXINGTON AVENUE 21ST FLOOR  
NEW YORK NY 10022

NOT ASSIGNED

2766

DATE MAILED:

05/28/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$\_\_\_\_\_.

☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*William A. Lee*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

JUN 01 1999

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